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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/823,477	03/30/2001	Kenneth W. Aull	15-0224	5740

7590

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EXAMINER

NGUYEN, MINH DIEU T

ART UNIT

PAPER NUMBER

2137

DATE MAILED: 02/02/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/823,477

Applicant(s)

AULL, KENNETH W.

Examiner

Minh Dieu Nguyen

Art Unit

2137

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 28 October 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-3 and 5-10 is/are pending in the application.
- 4a) Of the above claim(s) 4 is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-3 and 5-10 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- 1) ☐ Certified copies of the priority documents have been received.
 - 2) ☐ Certified copies of the priority documents have been received in Application No. _____.
 - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Response to Amendment

1. This action is in response to the amendment filed October 28, 2004 with the amendment on claims 1, 5-6 and 10 and the cancellation of claim 4.

Claims 1-3 and 5-10 are pending.

Response to Arguments

2. Applicant's arguments filed October 28, 2004 have been fully considered but they are not persuasive. Amended claim 1 has been amended to include the element from canceled claim 4 in which the applicant argues that Richard (5,922,074) does not disclose a first directory configured with information regarding signature certificates of users associated with a second enterprise PKI that are allowed access to a server. The examiner maintains that in Figure 2, the directory (element 44) is configured to verify whether the client has enough privilege to get the requested information based on client identity (digital certificate) (Figs 6A and 6B).

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the

Art Unit: 2137

applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1-3 and 5-10 are rejected under 35 U.S.C. 102(e) as being anticipated by Richard et al. (5,922,074).

a) **As to claims 1, 6 and 10**, Richard discloses a method and apparatus for providing secure distributed directory services and public key infrastructure comprising: configuring a first directory to query a second directory when receiving queries regarding signature certificates from a second enterprise PKI, the first directory being part of a first enterprise PKI, the second directory being part of the second enterprise PKI (Fig. 1, col. 6, lines 51-53); configuring the first directory with information regarding users with signature certificates associated with the second enterprise PKI that are allowed access to the server (Figs. 2, 6A and 6B); attempting access to a server by a user, the server being part of the first enterprise PKI, the user presenting a signature certificate (col. 6, lines 40-43) from the second enterprise PKI to the server for authentication (col. 6, lines 31-32 and 59-61, Fig. 2); sending a query to the first directory from the server to determine if the user is allowed access to the server (col. 7, lines 50-58); sending a query to the second directory from the first directory to determine if the user is a member of the second enterprise PKI (col. 7, lines 61-63); and signaling the server by the first directory that the user is allowed access to the server if the user is a member of the second enterprise PKI (col. 8, lines 33-53).

b) **As to claims 2 and 5**, Richard discloses the method further comprising configuring the first directory and the server by a network administrator (col. 3, lines 48-52).

c) **As to claim 3**, Richard discloses the method further comprising configuring the server with information regarding users with signature certificates from the second enterprise PKI that are allowed access to the server (Fig. 6A and 6B).

d) **As to claims 7-8**, Richard discloses the system wherein the first and second directory comprises a database (Fig. 2, element 50).

e) **As to claim 9**, Richard discloses the system wherein at least one server, at least one client platform, and the first directory are operably connected via a network (Fig. 1).

Conclusion

5. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

Art Unit: 2137

the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

6. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Minh Dieu Nguyen whose telephone number is 571-272-3873. The examiner can normally be reached on M-F 6:00-2:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Andrew Caldwell can be reached on 571-272-3868. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 571-272-2100.

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mdn
1/25/05

Minh Dieu Nguyen
Examiner
Art Unit 2137



ANDREW CALDWELL
SUPERVISORY PATENT EXAMINER